



Sector \$

Docket No. SOM920000009US1/1963-7398

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Applicants: Hua CHEN et al. : Group Art Unit: 2176
Serial No.: 09/727,491 : Examiner: Unassigned
Filed: December 4, 2000 :
For: AUTOMATIC, MULTI-STAGE RICH MEDIA CONTENT CREATION USING A
FRAMEWORK BASED DIGITAL WORKFLOW - SYSTEMS, METHODS AND
PROGRAM PRODUCTS

RESPONSE TO NOTICE TO FILE MISSING PARTS

Commissioner for Patents
BOX MISSING PARTS
Washington, D.C. 20231

Sir:

In response to the NOTICE TO FILE MISSING PARTS OF APPLICATION--FILING DATE GRANTED mailed January 17, 2001 (copy attached), Applicants believe that the Notice was mailed in error in that Applicants authorized the Commissioner to charge the filing fee of \$710.00 to their Deposit Account No. 09-0459, Order No. SOM920000009US1/1963-7398, and in support thereof, Applicants submit herewith a copy of the following documents:

- ☒ Postcard date-stamped by the PTO (2)
- ☒ Utility Application Transmittal (1.53(b)) (previously filed on 12/04/00)
- ☒ Notice To File Missing Parts Of Nonprovisional Application – Filed Under 37 CFR 1.53(b)

Also attached please find:

- ☒ Executed Assignment, Assignment Cover Sheet
- ☒ Preliminary Amendment
- ☒ Information Disclosure Statement Under 1.97(b), PTO 1449, 2 refs.

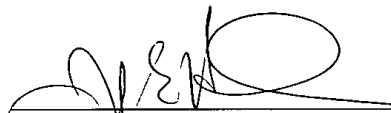
Applicant believes that no fee is due with this Response. However, the Commissioner is hereby authorized to charge any additional fees which may be required by this paper, or credit any overpayment to IBM Corporation Deposit Account no **09-0459** , Order No. **SOM920000009US1/1963-7398**. A
DUPLICATE COPY OF THIS SHEET IS ATTACHED.

Respectfully submitted,

MORGAN & FINNEGAN, L.L.P.

Dated: March 15, 2001

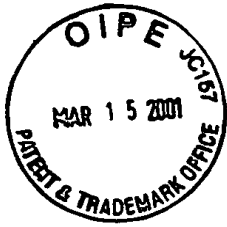
By:



John E. Hoel
Registration No. 26,279
(202) 857-7887 Telephone (202) 857-7929 Facsimile

CORRESPONDENCE ADDRESS:

Morgan & Finnegan L.L.P.
345 Park Avenue,
New York, New York 10154



In re New Utility Application for: Docket No.: SOM920000009US1/1963-7398
Inventors: **Hua CHEN**, Shu-Chun Jeane CHEN, Pierre DARMON, Shang Q. GUO,
Keeranoor G. KUMAR, Edward C. SNIBLE, and Kshitij M. VICHARE
Filed: December 4, 2000
For: **AUTOMATIC, MULTI-STAGE RICH MEDIA CONTENT CREATION
USING A FRAMEWORK BASED DIGITAL WORKFLOW - SYSTEMS,
METHODS AND PROGRAM PRODUCTS**

The return of this post card, properly stamped, will acknowledge receipt
in the Patent & Trademark Office of the following:

1. Utility Application and Fee Transmittal (1.53(b) (in duplicate))
2. Patent Application, including: 11 page(s) of specification; 1 page of
Abstract; 5 pages of claims (20 total, 3 Indp.); 5 sheets of Informal
drawings (Figs. 1-6)
3. Executed Declaration and Power of Attorney 8 Pages
4. Information Disclosure Statement w/PTO Form-1449 + 16 refs.
5. Deposit Account Authorization

Date: December 4, 2000

Atty: JCR/jag

19698_1





In re New Utility Application for: Docket No.: SOM92000009US1/1963-7398
Inventors: **Hua CHEN**, Shu-Chun Jeane CHEN, Pierre DARMON, Shang Q. GUO,
Keeranoor G. KUMAR, Edward C. SNIBLE, and Kshitij M. VICHARE
Filed: December 4, 2000
For: **AUTOMATIC, MULTI-STAGE RICH MEDIA CONTENT CREATION
USING A FRAMEWORK BASED DIGITAL WORKFLOW SYSTEMS,
METHODS AND PROGRAM PRODUCTS**

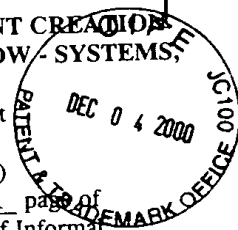
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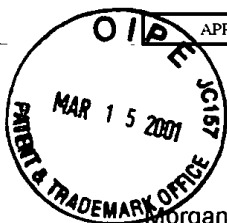
19698_1





UNITED STATES PATENT AND TRADEMARK OFFICE

DOCKET DEPT.

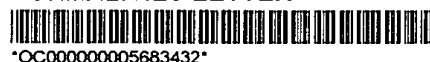
 COMMISSIONER FOR PATENTS
 UNITED STATES PATENT AND TRADEMARK OFFICE
 WASHINGTON, D.C. 20231
 www.uspto.gov


APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/727,491	12/04/2000	Hua Chen	SOM920000009US1/1963-7398

 Morgan & Finnegan, LLP
 345 Park Avenue
 New York, NY 10154

CONFIRMATION NO. 6533

FORMALITIES LETTER



OC000000005683432

Date Mailed: 01/17/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 840.

A copy of this notice MUST be returned with the reply.

Haimanot Tegbaru

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 1 - ATTORNEY/APPLICANT COPY

03/16/2001 EEKUBAY1 00000014 090459 09727491

 01 FC:101 710.00 CH ✓
 02 FC:105 130.00 CH ✓

 CASE 1963-7398 ATTY TCR
 DUE DATE March 17, 2001
 STATUTORY DATE August 17, 2001
 BY [Signature]



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE
UTILITY APPLICATION AND FEE TRANSMITTAL (1.53(b))

COMMISSIONER FOR PATENTS
BOX PATENT APPLICATION
Washington, D.C. 20231

Sir:

Transmitted herewith for filing is the patent application of

Inventor(s) names and addresses:

- 1) **Hua CHEN**
81 Charter Circle, Apt. 5M, Ossining, New York 10562 USA
- 2) **Shu-Chun Jeane CHEN**
10907 Derry Down Way, San Diego, California 92121 USA,
- 3) **Pierre DARMON**
11 New York Avenue, White Plains, New York 10606 USA,
- 4) **Shang Q. GUO**
1630 Crescent Drive, Tarrytown, New York 10591 USA,
- 5) **Keeranoor G. KUMAR**
34 Fords Road, Randolph, New Jersey 07869 USA,
- 6) **Edward C. SNIBLE**
232 West 14th Street, Apt. 5B, New York, New York 10011 USA, and
- 7) **Kshitij M. VICHARE**
66 Maple Row Road, Crompond, New York 10517 USA

☐ Additional inventors are listed on a separate sheet

For: **AUTOMATIC, MULTI-STAGE RICH MEDIA CONTENT CREATION USING A
FRAMEWORK BASED DIGITAL WORKFLOW - SYSTEMS, METHODS AND
PROGRAM PRODUCTS**

Enclosed Are:

11 page(s) of specification
1 page(s) of Abstract
5 page(s) of claims (20 total, 3 Indp.)
5 sheets of ☐ Formal ☒ Informal drawings (Figs. 1-6)

8 page(s) of Declaration and Power of Attorney

- ☐ Unsigned
☒ Newly Executed
☐ Copy from prior application
☐ Deletion of inventors including Signed Statement under 37 C.F.R. §1.63(d)(2)

Incorporation by Reference:

The entire disclosure of the prior application, from which a copy of the combined Declaration and Power of Attorney is supplied herein, is considered as being part of the disclosure of the accompanying application and is incorporated herein by reference.

☐ Microfiche Computer Program (Appendix)

- ☐ page(s) of Sequence Listing
- ☐ computer readable disk containing Sequence Listing
- ☐ Statement under 37 C.F.R. §1.821(f) that computer and paper copies of the Sequence Listing are the same

☒ Assignment Papers (assignment cover sheet and assignment documents)

- ☐ A check in the amount of \$40.00 for recording the Assignment
- ☐ Charge the Assignment Recordation Fee to IBM Deposit Account No. _____ Order No. _____
- ☐ Assignment Papers filed in the parent application Serial No. _____
- ☒ Are not enclosed at this time.

☐ Certification of chain of title pursuant to 37 C.F.R. §3.73(b)

Priority is claimed under 35 U.S.C. §119 for:

Application No(s). _____, filed _____, in _____.

Certified Copy of Priority Document(s)

- ☐ filed herewith
- _____ filed in application Serial No. _____, filed _____.

English translation document(s) [_____]

- ☐ filed herewith
- _____ filed in application Serial No. _____, filed _____.

☐ Priority is claimed under 35 U.S.C. §119(e) for:
Provisional Application No. _____, filed _____.

☐ Priority is claimed under 35 U.S.C. §120 for:
Application No(s). _____, filed _____ in USA.

☒ Information Disclosure Statement

- ☒ Copy of 16 cited references
- ☒ PTO Form-1449
- _____ References cited in parent application Serial No. _____.

☐ Preliminary Amendment

☒ Return receipt postcard (MPEP 503)

☐ This is a ☐ continuation ☐ divisional ☐ continuation-in-part of prior application serial no. _____, filed _____.

Cancel in this application original claims _____ of the parent application before calculating the filing fee. (At least one original independent claim must be retained for filing purposes.)

— A Preliminary Amendment is enclosed. (Claims added by this Amendment have been properly numbered consecutively beginning with the number following the highest numbered original claim in the prior application).

- ☐ The status of the parent application is as follows:
- ☐ A Petition for Extension of Time and a Fee therefor has been or is being filed in the parent application to extend the term for action in the parent application until _____.
 - ☐ A copy of the Petition for Extension of Time in the co-pending parent application is attached.
 - ☐ No Petition for Extension of Time and Fee therefor are necessary in the co-pending parent application.
- ☐ Please abandon the parent application at a time while the parent application is pending or at a time when the petition for extension of time in that application is granted and while this application is pending has been granted a filing date, so as to make this application co-pending.
- ☐ Transfer the drawing(s) from the parent application to this application
- ☐ Amend the specification by inserting before the first line the sentence:
This is a continuation of co-pending application serial no. _____, filed _____.

I. CALCULATION OF APPLICATION FEE				
	Number Filed	Number Extra	Rate	Basic Fee \$710.00/355.00
Total Claims	20	0	\$18.00/\$9.00	\$00.00
Independent Claims	3	0	\$80.00/\$40.00	\$ 00.00
<input type="checkbox"/> Multiple Dependent Claims		If marked, add fee of \$270.00 (\$135.00)		\$
Reduced fees under 37 C.F.R. §1.9 (f) paid herewith (1/2)				
TOTAL:				\$710.00

— A statement claiming small entity status is attached or has been filed in the above-identified parent application and its benefit under 37 C.F.R. §1.28(a) is hereby claimed. Reduced fees under 37 C.F.R. §1.9 (f) paid herewith.

☐ A check in the amount of \$ _____ in payment of the application filing fees is attached.

☒ Charge filing fee of \$710.00 to IBM Deposit Account No. 09-0459 No. SOM920000009US1/1963-7398. A DUPLICATE COPY OF THIS SHEET IS ATTACHED.

X The Commissioner is hereby authorized to charge any additional fees which may be required for filing this application pursuant to 37 CFR §1.16, including all extension of time fees pursuant to 37 C.F.R. § 1.17 for maintaining copendency with the parent application, or credit any overpayment to IBM Deposit Account No. 09-0459 No. SOM920000009US1/1963-7398.
A DUPLICATE COPY OF THIS SHEET IS ATTACHED.

Respectfully submitted,

MORGAN & FINNEGAN, L.L.P.

Dated: December 4, 2000

By: Joseph C. Redmond, Jr.

Joseph C. Redmond, Jr.

Registration No. 18,753

(202) 857-7887 Telephone

(202) 857-7929 Facsimile

CORRESPONDENCE ADDRESS:

MORGAN & FINNEGAN, L.L.P.
345 Park Avenue
New York, NY 10154